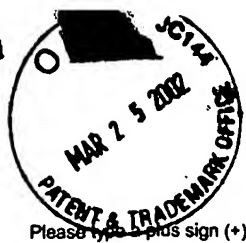


2121



COPY OF PAPERS
ORIGINALLY FILED

Please type and sign (+) inside this box → +

PTO/SB/21 (08-00)
Approved for use through 10/31/02. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<h1>TRANSMITTAL FORM</h1> <p>(to be used for all correspondence after initial filing)</p>	Application Number	10/051,830
	Filing Date	January 16, 2002
	First Named Inventor	Xinhui NIU and Nickhil JAKATDAR
	Group Art Unit	2121
	Examiner Name	To Be Assigned
Total Number Of Pages In This Submission		5 W/2 REFS
Attorney Docket No.		509982001200

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declarations <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement (3 Pages) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form PTO-1449 (1 Page) w/two cited references Return Receipt Postcard
<div style="border: 1px solid black; padding: 5px; min-height: 100px;"> Remarks </div>		<div style="border: 1px solid black; padding: 10px;"> <h2>RECEIVED</h2> <p>MAR 29 2002</p> <p>Technology Center 2100</p> </div>

SIGNATURE OF APPLICANT, ATTORNEY OR AGENT	
Firm or Individual Name	Peter J. Yim (Reg. No. 44,417) Morrison & Foerster LLP 425 Market Street San Francisco, California 94105-2482
Signature	
Date	March 14, 2002

RECEIVED
 MAY -9 2002
 TC 2800 MAIL ROOM

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on March 14, 2002.	
 Janet Hollrah	

Burden Hours Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

#3
COPY OF PAPERS
ORIGINALY-FILED



PATENT
Docket No. 509982001200

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on March 14 2002.

Janet Hollrah
Janet Hollrah

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Xinhui NIU and Nickhil JAKATDAR

Serial No.: 10/051,830

Filing Date: January 16, 2002

For: GENERATING A LIBRARY OF
SIMULATED-DIFFRACTION
SIGNALS AND HYPOTHETICAL
PROFILES OF PERIODIC GRATINGS

Examiner: To be Assigned

Group Art Unit: 2121

RECEIVED
MAY -9 2002
TC 2800 MAIL ROOM

SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

RECEIVED
MAR 29 2002
Technology Center 2100

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

This Information Disclosure Statement is submitted:

- ☒ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required.
- ☐ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of * is enclosed.
 - ☐ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a check in the amount of * is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided below and a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

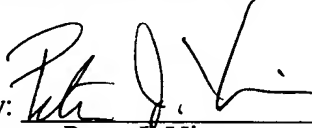
The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, applicant petitions for any required relief including extensions of time and authorizes the Assistant Commissioner to

charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **509982001200**. However, the Assistant Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: March 14, 2002

Respectfully submitted,

By: 

Peter J. Yim
Registration No. 44,417
Morrison & Foerster LLP
425 Market Street
San Francisco, California 94105-2482
Telephone: (415) 268-6373
Facsimile: (415) 268-7522

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:30%;">COPY OF PAPERS ORIGINALLY FILED Applicant</td> <td style="width:70%;">Application Number 10/051,830</td> </tr> <tr> <td colspan="2">Xinhui NIU and Nickhil JAKATDAR</td> </tr> <tr> <td>Filing Date January 16, 2002</td> <td>Group Art Unit 2121</td> </tr> <tr> <td colspan="2">Mailing Date March 14, 2002</td> </tr> </table>	COPY OF PAPERS ORIGINALLY FILED Applicant	Application Number 10/051,830	Xinhui NIU and Nickhil JAKATDAR		Filing Date January 16, 2002	Group Art Unit 2121	Mailing Date March 14, 2002	
COPY OF PAPERS ORIGINALLY FILED Applicant	Application Number 10/051,830								
Xinhui NIU and Nickhil JAKATDAR									
Filing Date January 16, 2002	Group Art Unit 2121								
Mailing Date March 14, 2002									



U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO

OTHER DOCUMENTS

(including author, title, Date, Pertinent Pages, Etc.)

Examiner Initials	Ref. No.	Title
	1.	Azzam et al., "Ellipsometry and Polarized Light", North Holland library, Amsterdam, 1987, book.
	2.	Moharam et al., "Stable implementation of the rigorous coupled-wave analysis for surface - relief gratings: enhanced transmittance matrix approach", J. Opt. Soc. Am. vol. 12, no. 5, May 1995, pp. 1077-1086.

RECEIVED
MAR 29 2002
Technology Center 2100

EXAMINER:	DATE CONSIDERED:
------------------	-------------------------

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.